



Kickoff Meeting for FY 2000 SC - LTR Multi Year Proposals

(Office of Science - Laboratory Technology Research; formerly Lab
Tech Transfer Program)

Kickoff Meeting #1 July 8, 1999 10:30 to Noon Bldg #2 Room 100B

Kickoff Meeting #2 July 13, 1999 2:00 to 3:30 Bldg #2 Room 100B

Preproposals due to Tech Transfer no later than August 16, 1999

Full Proposal Coordination Session Sep 3, 1999 10:00 to Noon Bldg.90 Rm 1099

Full Proposals due to Tech Transfer no later than Sep. 24, 1999

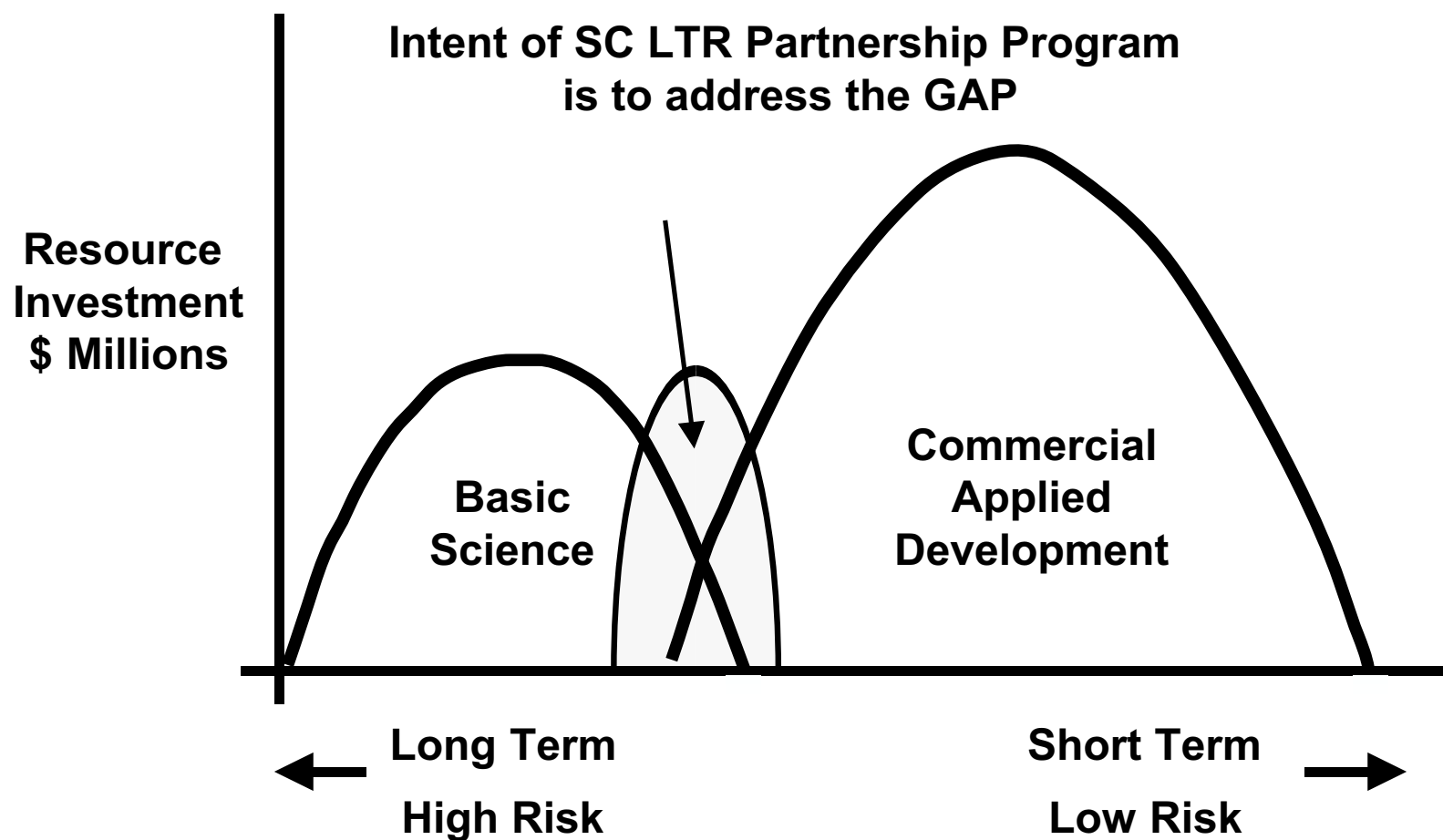
***Purpose: Background, Process, Changes,
Schedule, Review Website, Q&A***



Agenda for SC-LTR Program

- **Background, overview, funding**
- **Call scope, process, schedule**
- **Evaluation criteria**
- **Funding availability, selection**
- **Pre-proposal forms & attachments (detail)**
- **Full proposal forms and attachments (brief)**
- **Contractual**
- **Website access**
- **Q & A**

SC-LTR Program Purpose - Help Bridge the Gap



CVS Partnership Principles



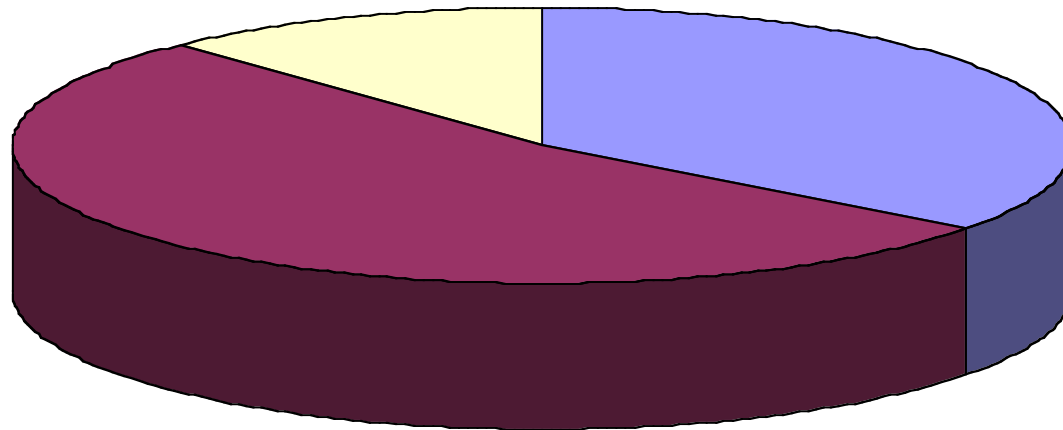
- Direct federal funding of research and development in industry that primarily benefits the stockholder is likely to be inappropriate.
- Federal investments in public-private partnerships should have clear benefit for both the government and industry.
- Unique knowledge in a federally funded research facility can form the basis for a successful collaboration.
- Unique facilities at a federally funded laboratory can create opportunities for successful collaborations.
- Public-private partnerships should be encouraged that create a public good as the outcome.

SC LTR Total Program Funding Thru FY 99 @ Berkeley Lab \approx \$94 Million



**Industry Partner
Funds In - 11%**

DOE Funding - 34%

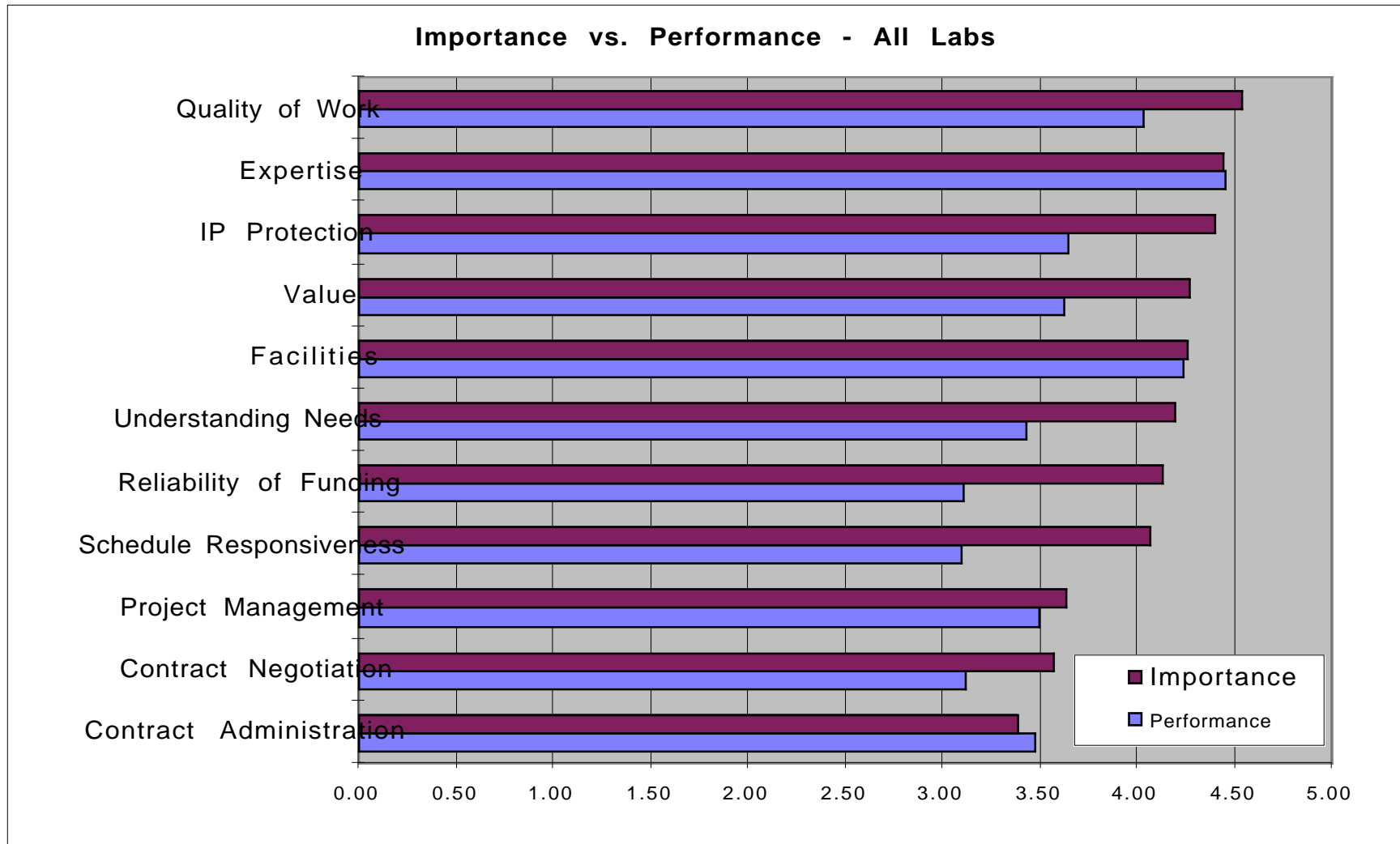


Industry Partner In Kind - 55%

Industry Partner Survey

- **97% of the survey respondents would like to partner again with one of the labs on a future research project.**
- **91% indicated they had benefited from partnering with the laboratories in the SC-LTR program.**
- **greatest benefit to the industry partners is obtaining specialized expertise and capabilities from the labs that are otherwise unavailable.**

SC-LTR Industry Partner High Evaluation of SC Labs





Four FY 99 LBNL Multi Year Awards

- **Catalysts for Cracking Heavy Feedstocks w/ Catalytica**
- **Erb-B-2 Targeted Cancer Therapeutics w/ Coulter Pharma.**
- **Scintillation Camera for Medical Imaging w/Capintec**
- **System Area Networking Technology w/Intel**

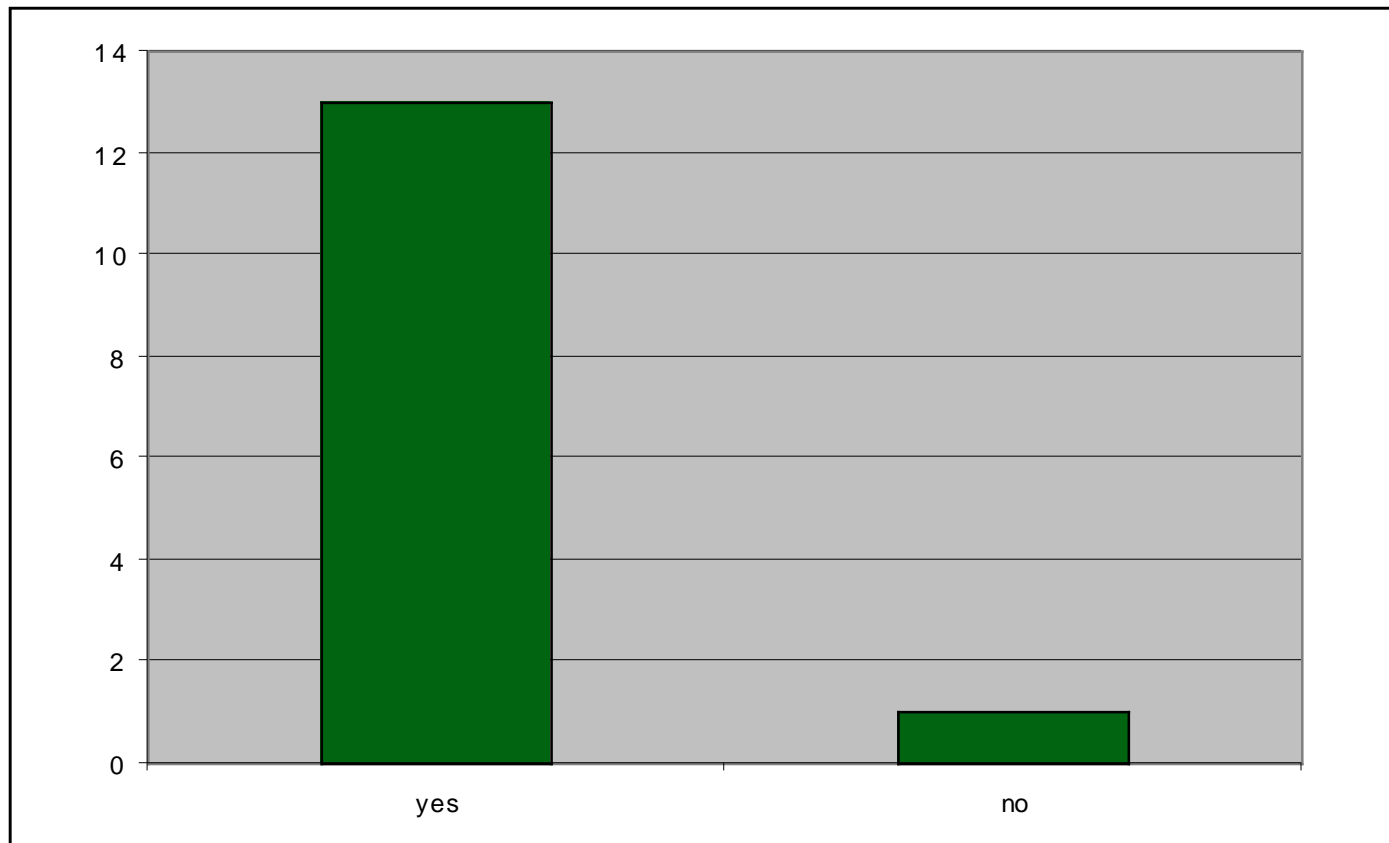
PI Evaluation of Reviewers Comments



- FY 99 Proposals

PI	Under- standing	Useful	Fair	Consistent	
G	5	5	5	5	5
M	5	5	5	4	4 . 8
C	5	3	5	5	4 . 5
I	4	4	4	5	4 . 2 5
N	4	4	4	4	4
A	4	4	4	4	4
J	4	3	4	3	3 . 5
H	3	4	3	3	3 . 3
F	2	4	4	3	3 . 3
E	3	3	3	4	3 . 3
D	3 . 5	3	3 . 5		3 . 3
K	4	4	2 . 5	2	3 . 1
B	3	3	3	2	2 . 8
L	3	3	3	1	2 . 5
	3 . 7	3 . 7	3 . 8	3 . 4	Average

Participate in LTR again?





Overview of FY 2000 Partnership Call

- **Lab-Industry Partnership Projects; broad focus**
- **5 ER Labs plus 5 Single Program Labs participating**
- **Up to \$250K/Year from DOE; 3 yr. project**
- **Matching (and funds-in) from Industry Partner**
- **CRADAs; Shortlisting process for selection**
- **DOE HQ Targeting 15 Awards**
- **Pre-proposals due to Tech Transfer no later than 8/16/99**

Scope Overview

- **Meet DOE missions, exploit scientific capabilities of the lab**
- **High/Medium -risk, challenging scientific problems**
- **Strong U.S. Industry Partner**
- **Promising commercial potential**
- **Truly new projects, not extensions of on-going multi-year projects**

Scope Overview- (cont.)

Areas consistent with lab research priorities

- **Advanced Materials**
 - Materials Design and Characterization, Synthesis and Processing, Intelligent or Adaptive Materials
- **Intelligent Processes and Controls**
 - Micro-machining, Advanced Sensors, Instrumentation and Processing, Modeling and Simulation
- **Sustainable Environments**
 - Advanced Energy & Environmental Technologies, Biotechnology

Sample Funding

Estimated Budget - Total Project	\$1,000 ^S Cost Sharing		
	DOE	INDUSTRY PARTNER	
		“In-Kind”	“Funds-In” (Cash)
FY 1999 (approx. 1/2 year)	125	120	60
FY 2000	250	240	120
FY 2001	250	240	120
FY 2002 (approx. 1/2 year)	125	80	60
TOTAL	750	680	360

Total= \$1,790 K

Selection Timetable

- **Pre-proposal package w/attach. to Tech Transfer no later than Aug. 16**
- **PIs with short-listed proposals notified Aug 23**
- **PIs with short-listed proposals attend Proposal Coordination Session Sep. 3**
- **PIs complete full proposals Aug. 23- Sep. 22**
- **Full Proposal package to Tech Transfer no later than Sep. 24**
- **Winners announced mid Dec. 1999**
- **Winners start work Mar. - Apr., 2000 after CRADA processed**

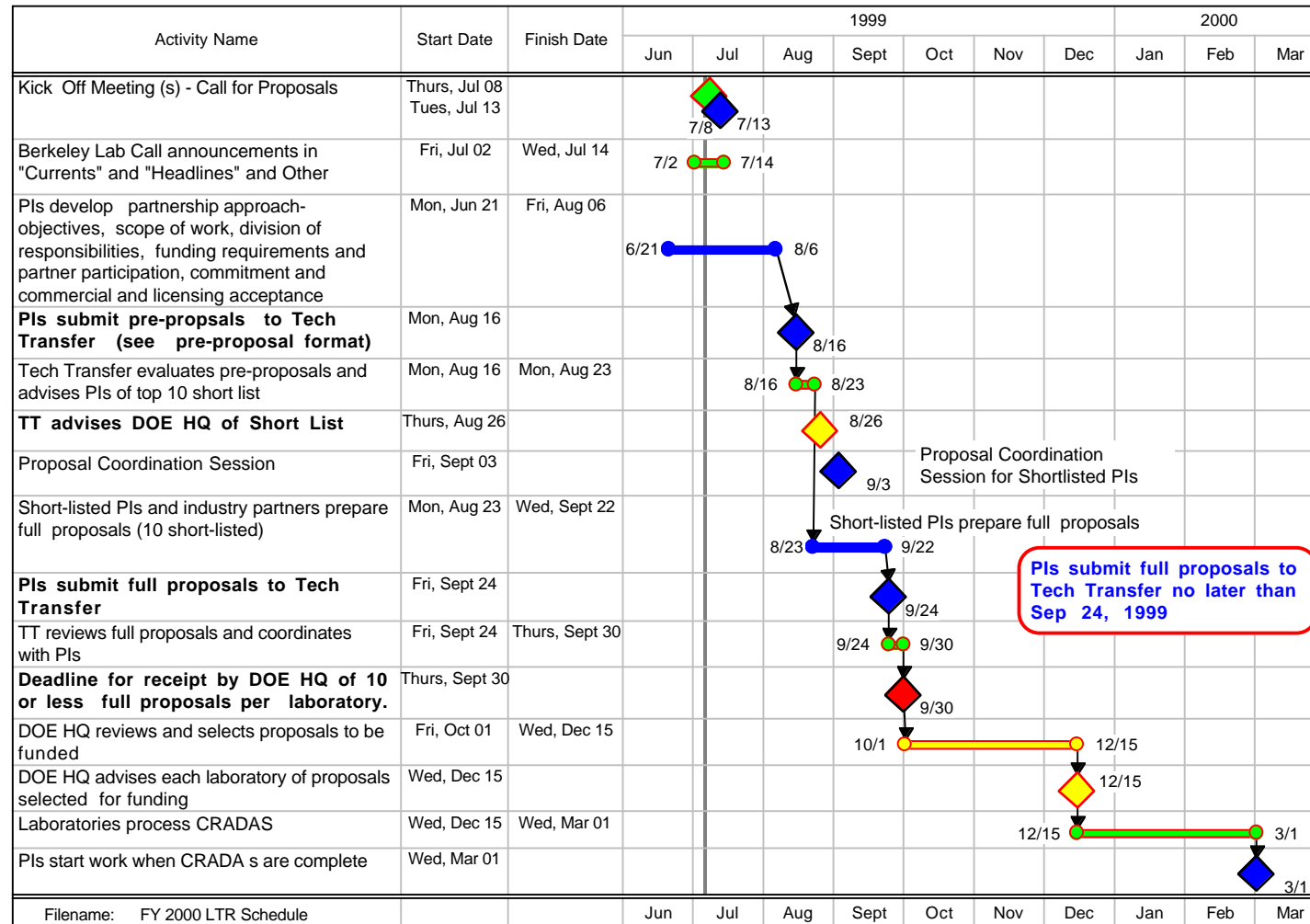


Proposal Call Schedule

ER LTR FY 2000 Proposal Schedule, Berkeley Lab



CRK
Jul 6, 1999



Filename: FY 2000 LTR Kick Off Meeting

Evaluation Criteria

Reviewers will use the following criteria. The total weight of criteria (1), (2), and (3) will be 70%. The total weight of criteria (4) and (5) will be 30%. Your proposal should address all of them.

- (1) Scientific/Technical Quality
- (2) Qualifications and Facilities
- (3) Work Plan
- (4) Commercial Potential
- (5) Industry Partner Participation

Pre-Proposal Format

- <http://ttd.lbl.gov/ER-LTR/index.html>
- Industry Partner Info
- Funding Commitments by year
- Abstract
- Advantage with Other Collaborators; not counted in 10 shortlisted (but max is 13) if:
 - Project is a collaboration involving 2 or more ER labs
 - Project will be funded by another DOE program (need a letter of commitment from the DOE funding manager)

Pre-Proposal Format (cont.)

- **Statement of Economic Interest (see form)**
- **Contractual Awareness from Partner**
- **Proposal Planning**
- **Attachments**



Attachments Pre-Proposals

- **Abstract**
- **CV**
- **Statement of Economic Interest Form**
- **Letter of Interest from Partner**
- **Letter of Commitment if partially funded by another DOE program**
- **Contractual explanation (if required)**

Full Proposal

- **Check out format and procedure- www**
- **Share CRADA document w/ Indus. Part.**
- **Attachments (in particular)**
 - Industry Partner Letter of Intent
 - Industry Partner Pre-CRADA Commercial Acceptance
- **There will be a separate Coordination Session to prepare for Full Proposals (Sep 3) for shortlisted projects**

Letter of Interest/Intent

- **Understand and concur with the proposal**
- **Commitment to provide company resources per schedule**
- **Signed by a company officer**
- **Demonstrate company technical understanding and interest in proposed project**
- **Discuss financial partnering - in kind funding, also "funds in" to laboratory**
- **Support for the partnership theme**

Letter of Interest/Intent #2

- **Demonstrate strategic fit, how it fits their needs, how it affects their competitiveness, why the proposed project is appropriate for a partnership (their perspective)**
- **Demonstrate understanding of project goals, deliverables, commitment of resources**
- **Some info in product markets if it supports the project**
- **Emphasize things that the company knows better than the LBNL PI may know**

Commercial

- **CRADA**
- **DOE Funding - first year is \leq \$125K**
- **Industry Partner Funding**
 - Matching
 - Funds in (cash)
- **Article XXII. U. S. Competitiveness**
- **Fairness of Opportunity**
- **Intellectual Property**
- **Foreign ownership (JWS)**



CRADA Document

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CRADA Document

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APPENDIX A STATEMENT OF WORK

**APPENDIX B DESCRIPTION OF EXPANDED ABSTRACT OF
COPYRIGHTED**

COMPUTER SOFTWARE

APPENDIX C LBNL SITE ACCESS

APPENDIX D BACKGROUND INTELLECTUAL PROPERTY

Fairness Of Opportunity

- **Get info on availability out: Web page, trade shows, seminars, marketing mailings, ...**
- **Be able to show that companies had a fair opportunity to participate**



CRADA Intellectual Property Basics

- **Each party may elect to retain title to an invention conceived or reduced to practice solely by its employees**
- **Each party has a one-half interest in joint inventions**
- **LBNL also offers an option agreement that provides additional rights to the industry partner**



ER-LTR Website

- **Use as appropriate**
 - <http://ttd.lbl.gov/ER-LTR/index.html>

Summary

- **Start/Continue working with your industry partner**
 - Get shortlisted, then finalize proposal
- **Read the Pre-proposal and the Full Proposal documents carefully; follow guidelines; consider joint submittal with another ER Lab**
- **Use website**
- **Attend coordination meeting in September for shortlisted proposals**



Contact Information

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Hip Pocket Slides Follow

Probabilities

- **Preproposals - Shortlisting**
- **Preparation of Full Proposals**



SC LTR Proposal Reqmt's. vs. JWS

SC LTR Proposal

Joint Work Statement

A. Overview	→	A. Executive Summary
B. Technical Scope - background, scientific and technical approach, work plan, deliverables, division of responsibilities, schedule	→	B. Scope - Technical Objectives, Duration of Project, Tasks, Responsibilities and Schedule, Deliverables, Limitation of Time and Resources
C. Relevance to DOE ER	}	C. Estimated Cost and Source of Support (Budget)
D. Commercialization of Technology and Societal Benefits		
E. Key Personnel and Facilities	↘	D. Benefits and Impacts
F. Estimated Cost and Source of Support (Budget)	↗	
G. Special Considerations - Fairness of Opportunity - Other	→	E. Special Considerations - Fairness of Opportunity - Other